

NATIONAL CAPITAL PLANNING COMMISSION

Instructions for submitting
projects to the

FEDERAL CAPITAL IMPROVEMENTS PROGRAM

National Capital Region

2009 - 2014



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APPENDICES

FORM A. FEDERAL PROJECT PROPOSAL

FORM B. ANNUAL REVIEW OF PROJECT STATUS

This instruction booklet is available on the National Capital Planning Commission website at <http://www.ncpc.gov/project/pg.asp?p=instructionsandforms> (About/Principal Activities/Federal Capital Improvements).

If you have any questions about these instructions, please contact: Stacy Wood, Community Planner—FCIP Program Manager, tel: 202-482-7237, stacy.wood@ncpc.gov.

I. INTRODUCTION

As the central planning agency for the federal government, the National Capital Planning Commission (NCPC) is responsible for planning the appropriate, orderly development of the federal establishment in the National Capital Region (NCR). The agency's congressionally mandated responsibilities include the annual preparation of the six-year Federal Capital Improvements Program (FCIP). The adopted program contains NCPC's recommendations to the Office of Management and Budget (OMB) and to other federal departments and agencies on proposed land acquisitions and development proposals that will be considered for funding in the next six years.

NCPC relies upon each participating federal department and agency (hereafter referred to as agency) to submit its six-year capital improvements program and proposed capital budget recommendations for NCPC's review.

These instructions will guide each agency as it prepares its FYs 2009-2014 capital improvements program. The Commission requests that each agency prepare its submission in accordance with these instructions and meet the deadlines for submitting program materials.

NCPC will review FYs 2009-2014 capital improvements program materials in summer 2008. Once NCPC adopts the draft program, it will be forwarded to OMB and made available to the public. During fall 2008, NCPC staff will confirm agencies' FY 2010 budget estimates and subsequently submit capital budget information to OMB for the President's FY 2010 budget.

II. FCIP FUNCTION AND PROCESS

To understand the basis for the preparation of the Federal Capital Improvements Program, the next section provides:

- A. Definition of a capital improvement
- B. Role and function of the FCIP
- C. Office of Management and Budget review
- D. Legal authority
- E. Project submission recommendations

A copy of last year's FYs 2008-2013 FCIP is available at www.ncpc.gov/publication.

A. DEFINITION OF A CAPITAL IMPROVEMENT

For purposes of the FCIP, a capital improvement is defined as a non-recurring expenditure or any expenditure for physical improvements, including costs for acquisition of existing buildings, land, or interests in land; construction of new buildings or other structures including additions and major alterations; construction of streets and highways or utility lines; acquisition of fixed equipment; landscaping and similar expenditures.

Expenditures for federal capital improvements can be:

- Funds appropriated by Congress.
- Non-appropriated federal funds generated from sources such as retail sales at U.S. postal facilities, military stores, and officers' clubs.
- Funds provided by the private sector for construction on federal property.
- Funds generated by the private sector for construction on private land, provided the new structure is for occupancy and/or eventual ownership by the federal government.

Additional information is provided on page 11 under "Supplemental Submission/Reprogramming of Funds."

B. ROLE AND FUNCTION OF THE FCIP

The FCIP serves as a budgeting and planning tool. NCPC reviews proposed federal capital projects within the NCR for their conformity with adopted federal plans and policies and subsequently makes recommendations based on this review. OMB uses the information as it develops the President's annual budget. NCPC's recommendations and comments do not represent approval of the proposed project and shall not be construed or represented to constitute NCPC review of project plans pursuant to 40 U.S.C § 8722(d) and Section 5 of the National Capital Planning Act (40 U.S.C § 8722(b)(1)), or any other applicable statute.

NCPC's recommendations and comments within the FCIP are based on the extent to which proposed projects conform with regional planning and development policies as described in plans and programs adopted by NCPC, regional planning bodies, and local and state governments. The recommendations and comments represent the National Capital Planning Commission's assessment of the project's contribution to implementing planning policies and initiatives or support of key federal interests.

As an initial assessment of proposed federal capital projects, the FCIP allows NCPC to identify, at a sufficiently early stage, projects that are important to the orderly development of the federal establishment, or those that may have potential adverse impacts or problems requiring resolution.

Another function of the FCIP is to coordinate proposed federal agency capital projects with agencies' long-range plans; Commission-approved master plans; and Commission-approved site and building plans for federal installations or single facilities. The FCIP functions as a vital first step in the implementation of these plans by serving as an early notification and coordinating tool for interested and affected local, regional, and state agencies. State and local governments submit their capital improvement programs to NCPC for review, allowing NCPC to determine, at the earliest possible time, whether federal interests are affected. Such coordination ensures that the schedules of related projects are properly timed, potentially avoiding delays at the time of formal review. This coordination results in cost savings to local and state governments and in overall improvements to the regional economy. Successful preparation of the FCIP is contingent on federal agencies submitting their capital improvements program to NCPC by the deadlines noted on page 9.

In the spring NCPC prepares draft recommendations for capital projects for the next six fiscal years. A draft FCIP is circulated for public review and comment, usually in June, and NCPC

coordinates with federal agencies in July to ensure that the most current project descriptions and budget estimates are presented. The Commission generally adopts the final FCIP in September. In the fall, NCPC also asks federal agencies to update capital budget and program information for the President's FY 2010 budget, which will be reviewed by NCPC in executive session. NCPC will then transmit its recommendations for that budget year to OMB.

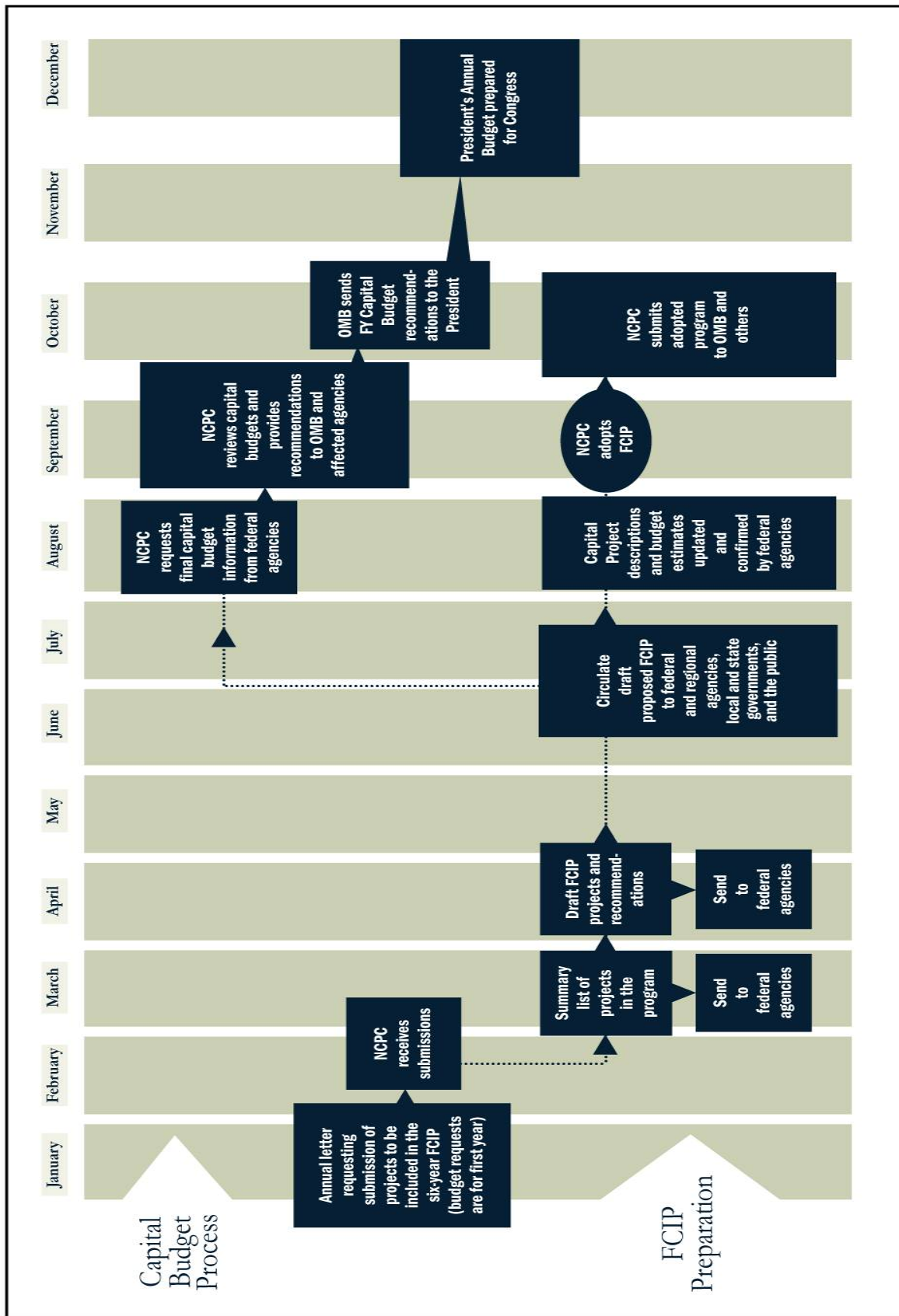
Note: The first year of the FCIP represents funding requests contained in the President's budget that is transmitted to Congress (FY 2009), while the second to sixth years (FYs 2010-2014) represent extended funding of projects or new projects that are scheduled year-by-year until they are ready for funding consideration.

Projects in the FCIP are reviewed for conformity with, and for their contribution to, the following plans:

1. *Extending the Legacy: Planning America's Capital for the 21st Century*
2. *Comprehensive Plan for the National Capital: Federal Elements*
3. *Memorials and Museums Master Plan*
4. *The National Capital Urban Design and Security Plan*
5. **Master plans and strategic plans for federal facilities and installations, and federal agency long-range system plans and programs**

Copies of the Commission's plans, including those noted above (items 1-4), are available in PDF format at www.ncpc.gov/publication, or by calling the Commission at (202) 482-7200, or by emailing info@ncpc.gov.

MAJOR STEPS IN PREPARING THE FEDERAL CAPITAL IMPROVEMENTS PROGRAM



C. OFFICE OF MANAGEMENT AND BUDGET REVIEW

With the passage of the Government Performance and Results Act of 1993, OMB is placing increased emphasis on linking federal agency resources with performance and comparing proposed projects with federal agencies' strategic plans. OMB has identified the FCIP as an important management reform initiative and uses the Commission's recommendations to assist in analyzing federal capital budget submissions.

D. LEGAL AUTHORITY

Preparation of the FCIP is pursuant to Section 7 of the National Capital Planning Act (40 U.S.C. § 8723(a)), which requires that the Commission annually review and recommend a six-year program of federal public works projects for the NCR. In addition, Section 33.1(d) of the Office of Management and Budget Circular No. A-11 *Preparation, Submission, and Execution of the Budget* (July 2004) states that "you must consult with the National Capital Planning Commission in advance regarding proposed developments and projects or commitments for the acquisition of land in the National Capital area."

E. PROJECT SUBMISSION RECOMMENDATIONS

NCPC requests that the participating departments and agencies comply with the following recommendations, when appropriate, in submitting their capital programs for the FCIP.

- Each federal agency should use the *Comprehensive Plan for the National Capital: Federal Elements* as a planning policy guide when preparing its submission of proposed projects for the capital improvements program.
- The status of all approved master plans should be assessed approximately every five years by federal agencies. Master plans should be revised as needed to incorporate all project proposals before submitting the master plans to NCPC as part of the capital improvements program.
- Proposed development projects should be evaluated for compliance with applicable federal, state, and local requirements regarding historic preservation or environmental protection, including impacts on traffic and nearby properties. Implementation may require review by federal, state, county, and city officials pursuant to historic preservation or environmental regulations, including issuance of permits promulgated under the authority of federal law.
- NCPC urges any agency that is planning a project that could affect a 100-year floodplain or wetland area, or generate additional stormwater runoff, to identify measures, during the preliminary project review stage, to mitigate any potential adverse impact.
- NCPC requests that federal agencies, in planning for future projects, adhere to the policy in the Federal Facilities Element of the *Comprehensive Plan*, which states that in

selecting new locations or relocating federal activities, consideration should be given to the use of existing underdeveloped federal facilities before leasing space or purchasing additional land. In addition, NCPC encourages agencies to conform to the *Comprehensive Plan* and Executive Order 12072 regarding the location of federal facilities in the District of Columbia.

- As stated in the Federal Workplace Element of the *Comprehensive Plan*, the federal government should achieve not less than 60 percent of the region's federal employment in the District of Columbia. NCPC uses this policy to preserve the historic concentration of federal employment in the seat of the national government. The Commission encourages federal agencies to help realize this goal by locating and maintaining Cabinet-level departments and independent agencies and commissions, including facilities housing departmental, commission, or agency heads, their assistants, and other staff, within the District of Columbia. Agencies and departments are also encouraged to consider locating and maintaining other types of federal facilities within the District of Columbia, as guided by other policies within the *Comprehensive Plan*.
- NCPC encourages all federal departments and agencies to adhere to the concepts contained in *Extending the Legacy: Planning America's Capital for the 21st Century* as they prepare proposals for development within the monumental core. The plan provides alternatives to preserve and enhance Washington's monumental core, which extends generally from the steps of the U.S. Capitol to the Lincoln Memorial, Arlington Cemetery, and from the White House to the Potomac and Anacostia Rivers.
- NCPC encourages all federal agencies to design security improvements that are aesthetically appropriate to their surroundings and that enhance the public environment. In particular, security improvements should be designed in accordance with recommendations in NCPC's *National Capital Urban Design and Security Plan* and NCPC's *Designing and Testing of Perimeter Security Elements*. NCPC strongly supports securing sites in the NCR to make them safer for federal workers and visitors. NCPC, however, encourages a comprehensive approach to the design of permanent security measures and requests that agencies coordinate their security projects with the recommendations contained within NCPC's security plans.

III. GENERAL SUBMISSION REQUIREMENTS

A. SUBMISSION CONTENTS

Each agency's designated representative should submit to NCPC **ONE COPY** of the agency's six-year capital improvements program, to include the following items:

Form A - Federal Capital Project Proposal: A completed form A is required for **each** capital project for which the agency is requesting funding in FYs 2009-2014. In addition, a site map showing the location of each proposed project should be attached to Form A. If projects have been submitted previously, agencies may submit an updated version of the previous year's project description and provide updates to questions 5 through 12 on Form A.

Form B - Annual Review of Project Status: Agencies should provide a review of the status of all capital projects that have been fully or partially funded during the last two fiscal years (FY 2006 and FY 2007) and report the status of any legislative action on FY 2008 capital budget projects under congressional review.

Note: To expedite submissions, NCPC will provide each agency with electronic copies of their projects from last year's FCIP, including descriptions and six-year cost estimates.

B. SCHEDULE FOR SUBMISSION OF CAPITAL PROGRAMS (FYs 2009-2014)

Recognizing that agencies develop their capital project information over the course of the fiscal year, NCPC has established the following submission deadlines to ensure agencies have several opportunities to update information.

First drafts of FYs 2009-2014 submissions are due by **April 18, 2008**. As the scope and estimated cost of many projects is limited at this stage, please provide as much descriptive information about each project as possible and give the total estimated cost. Preliminary cost estimates can be adjusted in April and during the public comment period in June.

In April, following review of agencies' initial drafts, NCPC will propose recommendations and provide these recommendations to the agencies for review. Agencies then have the opportunity to revise their FYs 2009-2014 submissions and review and comment on NCPC's recommendations. **Revised FYs 2009-2014 submissions** are due to NCPC by **May 2, 2008**.

NCPC staff will then compile a proposed FCIP for FYs 2009-2014. Release of the proposed FCIP program for a 45-day public comment period is tentatively scheduled for June 2008.

Agencies can make final revisions to the budget request for their FYs 2009-2014 submissions during the public comment period. Adjustments to agency submissions are permitted to ensure that the FCIP budget request closely approximates the budget requests agencies submit to OMB. **Final revised FYs 2009-2014 submissions** are due to NCPC by **July 25, 2008**. From these submissions, NCPC will compile the final draft Federal Capital Improvements Program for FYs

2009-2014. Please note that **agency submissions due by July 25 must be approved by an agency's authorized senior official.** The Commission's adoption of the Federal Capital Improvements Program is tentatively scheduled for the September 4, 2008 Commission meeting.

In addition, during late summer 2008, the Commission will request that agencies provide final capital project information that has been submitted to OMB for the preparation of the President's next budget (FY 2010). **FY 2010 capital budget submissions** are due by **September 12, 2008.**

FYs 2009-2014 Capital Program	DEADLINE FOR SUBMISSION
First draft_____	Friday, April 18, 2008
Revised draft_____	Friday, May 2, 2008
Final revised_____	Friday, July 25, 2008
FY 2010 Capital Budget_____	Friday, September 12, 2008

If your agency is *not* planning any land acquisition, rehabilitation/renovation, or construction projects during FYs 2009-2014, *please notify NCPC* in writing. This can be accomplished by emailing Stacy Wood, Community Planner–FCIP Program Manager, at stacy.wood@ncpc.gov.

C. SUPPLEMENTAL SUBMISSION/REPROGRAMMING OF FUNDS

If at any time during the year an agency submits a supplemental request to OMB or reprograms project funds, the agency should also submit this information to NCPC.

In addition, should the funding request for any project increase or decrease by 10 percent or more of the original project cost estimate contained in a prior FCIP, the agency should submit an explanation, including changes to the project description.

IV. INSTRUCTIONS FOR SUBMISSION MATERIALS

The FCIP is based upon information furnished by each participating agency. The purpose of the submission materials is to provide NCPC and OMB with consistent quantitative data and descriptive information about each project and each agency's overall program. It is important that the information on the forms be clear and complete.

The following section defines the projects and accompanying materials that should be submitted.

A. PROJECTS TO BE INCLUDED IN THE SUBMISSION

Capital improvements (as defined on page 3) should be submitted by the agency to NCPC for review. Submissions also should identify major changes to an existing facility that would result in a change in function, intensity of use, the number of employees, or—for historic landmark properties—where the proposed improvement would significantly alter the interior or exterior character of the building.

Certain projects may generally meet the definition of a capital improvement, but may not be included in the scope of this program because they are relatively minor improvements without a long-term impact or because they are recurring items, such as general maintenance or repairs.

PROJECTS TO BE OMITTED FROM THE SUBMISSION

The following are projects that should be omitted from submission, provided they are not inconsistent with an approved master or project plan for the federal property affected:

1. Projects involving the replacement of walks, roadways, and parking areas, if there is no change in location or existing character.
2. Projects involving the rehabilitation, repair, or minor alterations of existing buildings or structures if there is no substantial change in the existing use, character, or extent of the building or structure and no substantial extension of the useful life of the building or facility. *Facade alterations and new roofs for existing buildings, or other structural improvements that would change the character or extend the useful life of a building or a facility for 15 years or more must be included in the program submission.*
3. Projects involving the removal or replacement of trees, shrubs, and other materials, and minor changes in plant material that do not change the concept in an approved landscape plan.
4. Projects involving replacement, but not relocation or extension, of existing underground utility lines, such as pipes or cables. *However, projects involving the replacement or the rehabilitation of major mechanical systems, such as the replacement of boiler plants or air-conditioning systems, or projects involving utility surface structures, significant changes in drainage patterns, or impairment of surface must be included.*
5. Maintenance projects involving routine or occasional inspections, adjustments, and minor repairs. Examples of items in this category include: daily maintenance; hardware replacement; replacement doors and windows; individual plumbing fixtures, pumps, and valves; electrical switches; elevator maintenance and repairs; partitions; window guards; and ground maintenance improvements.

B. SUBMISSION MATERIALS AND INFORMATION

The following materials and information should be submitted by each agency:

1. MAPS

A site location map must be provided along with each Form A that shows the proposed project's location and its relationship to existing and proposed facilities. The site development plan of an approved master plan that identifies the proposed project's location will be sufficient.

2. SUBMISSION FORMS

Forms A and B are attached and are available as PDFs on NCPC's website at <http://www.ncpc.gov/project/pg.asp?p=instructionsandforms>, which is located under About Us/Principal Activities/Federal Capital Improvements.

To obtain electronic copies of Form A and Form B, contact Stacy Wood by email at stacy.wood@ncpc.gov.

3. DIRECTIONS FOR COMPLETING FORM A

Each year approximately 200 projects are submitted for inclusion in the FCIP. Agency cooperation in providing all of the requested information is imperative for completion of an accurate and up-to-date document.

Questions 1 through 12 are self-explanatory. The following describes the information requested in Question 13, Project Description:

General Description of Project: Provide a concise description of each project including: size of project; intended tenants/users; location; size including gross square feet (gsf); number of parking spaces; number of employees (before and after); whether the project is an addition to an existing building; intended use (e.g., laboratory, office building, warehouse, dormitory, maintenance yard, street improvements, etc.); construction type; and exterior building materials. If the project involves renovation, describe the proposed improvements. If the project contains multiple uses, list these uses and give square footage for each use (e.g., a warehouse that also contains office space, a maintenance shop, and restrooms/locker rooms). If utility, landscaping, and street improvements are a part of the project, include them also. Please identify whether **any** historic landmarks would be affected by the proposed project, including the steps that have been taken, or will be taken, to achieve their preservation.

Project Purpose and Justification: Explain why the project is needed. Give details, such as inadequacies of an existing building or facility, need for space for a specific use

or program, or possible relationship with other governmental activities. Also identify any benefits to the government that the proposed project might provide.

Each sponsoring federal agency should to the extent possible at the programming stage, include the following:

- A. Identification of any planned, completed, or in-progress environmental documents prepared pursuant to the National Environmental Policy Act (NEPA) for the project; and
- B. A description of how the project complies with the following, when applicable:
 - (1) Historic Preservation Act
 - (2) Executive Order 11593, Protection and Enhancement of the Cultural Environment
 - (3) Executive Order 12898, Environmental Justice
 - (4) Clean Air Act
 - (5) Endangered Species Act
 - (6) Resource Conservation and Recovery Act
 - (7) Executive Order 11988, Floodplain Management
 - (8) Executive Order 11990, Protection of Wetlands
 - (9) Executive Order 13186, Responsibilities of Federal Agencies to Protect Migratory Birds
 - (10) Executive Order 13123, Greening the Government through Efficient Energy Management
 - (11) Executive Order 13148, Greening the Government through Leadership in Environmental Management
 - (12) Executive Order 13150, Federal Workforce Transportation
 - (13) Other laws, regulations, or Executive Orders, as relevant

NCPC considers the historic, environmental, and other impacts of proposed actions that it reviews. The environmental information in the FCIP helps NCPC to improve and coordinate federal plans, functions, programs, and resources to carry out both the policy set forth in NEPA and the purposes of the Planning Act as it relates to the mission and goals of all federal agencies in the National Capital Region. Specific FCIP program submissions should identify a proposal's potential impacts and/or the agency's compliance with the above laws and policies.

The submission should include any documentation regarding compliance with the above measures—either in the context of the specific proposal or in annual reporting requirements of the Executive Order or law.

4. DIRECTIONS FOR COMPLETING FORM B

Include information on (1) the status of legislative action for projects included in the FY 2008 capital budget submitted by the President to the Congress, and (2) the status of construction of those projects that have been funded by the Congress during the past **two** fiscal years (2006-2007) or those that are expected to begin in the near future.

If legislative action on certain FY 2008 projects has been delayed by the Congress and information on authorization and appropriation is unknown at the present time, this information

should be indicated in the Legislative Action column for that project. Later, in winter 2008, NCPC staff will contact agency representatives to obtain this data.

Agency submissions should include *all* land acquisitions or development projects that have been funded by the Congress. This progress report provides a way of tracking federal development within the National Capital Region.

5. SUBMISSION ADDRESS, FAX NUMBER, AND EMAIL

NCPC is committed to assisting federal agencies in preparing their FCIP submission. Please contact Stacy Wood, Community Planner-FCIP Program Manager, if you need additional information or have questions.

Maps and Forms A and B can be submitted by mail, fax, or email.

Contact Information

NCPC
Attention: Stacy Wood
401 9th Street NW
North Lobby, Suite 500
Washington, DC 20004

Tel: 202-482-7237
Fax: 202-482-7272
Email: stacy.wood@ncpc.gov

Form A

National Capital Planning Commission
Federal Capital Improvements Program for the National Capital Region
Fiscal Years 2009-2014

Agency Representative/Title	Telephone/Email	Date
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Please fill out all questions. If a question is not applicable, please indicate with "N/A."

PROJECT TITLE AND LOCATION

1. Project Title

2. Department/Agency

3. Installation (Please provide street address, if available)

4. City/County/State (Please provide street address of project, if available)

PROJECT HISTORY

5. Please indicate if this project has been included in previous FCIPs. What years? Did it appear under a different title? (e.g., FYs 2002-2007, Building F Renovation.)

A copy of Form A as a PDF file is available at www.ncpc.gov . Form A as a Microsoft Word document can be requested through email by contacting Stacy Wood at stacy.wood@ncpc.gov .

PRIOR FUNDING

6. Has this project received funding in previous fiscal years? If so, describe how much and what years (e.g., \$500,000 in FY 2001; \$4,000,000 in FY 2002).

SUPPLEMENTAL FUNDING

7. Does the prior funding stated in Question 6 include any supplemental funding for security or anti-terrorism activities? If so, describe how much and what years.

BUDGET ESTIMATES

8. Please provide planning, design, and construction budget estimates for this project for each fiscal year between 2009 and 2014 and the total of budget estimates for fiscal years beyond 2014:

Cost (\$000)

Category	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	Beyond FY 2014	Total
Planning								
Design								
Construction								

9. Please provide an estimate of the total project cost (include previous funding, FYs 2009-2014, and beyond FY 2014 budget estimates).

TYPE OF DEVELOPMENT / IMPROVEMENT

10. Please identify the size of the project under the following categories.

Category	Measurement (sq. ft., sq. meters, acres, miles, etc.)
New Construction:	
Rehabilitation/Renovation:	
Addition to Existing Structure:	
Site Improvements (Soft and Hard Surfaces) :	
Acquisition of Land:	
Acquisition of Existing Structure/Building:	
Utilities, etc.:	

EMPLOYMENT ESTIMATES

11. Please indicate estimated changes to employment at the building or site following completion of the project. Include existing employment, the change in employment due to this project, and whether this project involves employee transfers between the District of Columbia, Maryland, and Virginia.

Total existing installation employment at building or site:

Employment after project at building or site:

Employees transferred **to** building or site: Total

From: DC _____, MD _____, VA _____, Outside the Region

Employees transferred **from** building or site: Total

To: DC _____, MD _____, VA _____

PARKING ESTIMATES

12. Please indicate estimated changes to the parking space supply at the building or site following completion of the project. Include the existing number of spaces, the number of those spaces lost due to the project, the number of spaces to be built with the project, and the total number of spaces following completion of this project.

Category	Total	Surface	Garage
Existing parking			
Parking lost to project			
Parking gained with project			
Parking after project			

PROJECT DESCRIPTION

13. Please provide a general description of the project (one or two paragraphs). The description should include the intended use of the project or the major project components, as well as other relevant information including the number of floors, the number of housing or lodging units, exterior building materials, etc. A brief description of the project purpose and justification should also be included. In addition, please provide information on any historic preservation issues (Section 106, etc.) or environmental evaluation issues.

If not indicated elsewhere, please indicate if this project is designed to improve security at an existing federal installation, or is part of a new anti-terrorism initiative or program.

Please refer to pages 9-11 of the instruction manual for further information on completing this project description.

Category	Total	Surface	Garage
Existing parking			
Parking lost to project			
Parking gained with project			
Parking after project			

Form B

Annual Review of Project Status for Projects Proposed within FYs 2006-2007

[illegible]

Agency Representative/Title

Telephone/Email

Date _____

A copy of Form B as a PDF file is available at www.ncpc.gov . Form B as a Microsoft Excel document can be requested through email by contacting Stacy Wood at stacy.wood@ncpc.gov.